

Practitioner's Docket No. U013528-7

Optional Customer No. Bar Code



00140

PATENT TRADEMARK OFFICE

RECEIVED
NOV 13 2002
TECH CENTER 1600/2900
PATENT

COMBINED DECLARATION AND POWER OF ATTORNEY

(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT, SUPPLEMENTAL, DIVISIONAL,
CONTINUATION, OR C-I-P)

As a below named inventor, I hereby declare that:

TYPE OF DECLARATION

This declaration is of the following type:

(check one applicable item below)

- ☒ original.
☐ design.

NOTE: With the exception of a supplemental oath or declaration submitted in a reissue, a supplemental oath or declaration is not treated as an amendment under 37 CFR 1.312 (Amendments after allowance). M.P.E.P. Section 714.16, 7th Ed.

- ☐ supplemental.

NOTE: If the declaration is for an International Application being filed as a divisional, continuation or continuation-in-part application, do not check next item; check appropriate one of last three items.

- ☐ national stage of PCT.

NOTE: If one of the following 3 items apply, then complete and also attach ADDED PAGES FOR DIVISIONAL, CONTINUATION OR C-I-P.

NOTE: See 37 C.F.R. Section 1.63(d) (continued prosecution application) for use of a prior nonprovisional application declaration in the continuation or divisional application being filed on behalf of the same or fewer of the inventors named in the prior application.

- ☐ divisional.
☐ continuation.

NOTE: Where an application discloses and claims subject matter not disclosed in the prior application, or a continuation or divisional application names an inventor not named in the prior application, a continuation-in-part application must be filed under 37 C.F.R. Section 1.53(b) (application filing requirements-nonprovisional application).

- ☐ continuation-in-part (C-I-P).

INVENTORSHIP IDENTIFICATION

WARNING: *If the inventors are each not the inventors of all the claims, an explanation of the facts, including the ownership of all the claims at the time the last claimed invention was made, should be submitted.*

My residence, post office address and citizenship are as stated below, next to my name. I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed, and for which a patent is sought on the invention entitled:

TITLE OF INVENTION

NOVEL IN-SITU CONTROLLED RELEASE MICROCARRIER DELIVERY SYSTEM

SPECIFICATION IDENTIFICATION

The specification of which:

(complete (a), (b), or (c))

(a) ☒ is attached hereto.

NOTE: *"The following combinations of information supplied in an oath or declaration filed on the application filing date with a specification are acceptable as minimums for identifying a specification and compliance with any one of the items below will be accepted as complying with the identification requirement of 37 C.F.R. Section 1.63:*

"(1) name of inventor(s), and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration on filing;

"(2) name of inventor(s), and attorney docket number which was on the specification as filed; or

"(3) name of inventor(s), and title which was on the specification as filed."

Notice of July 13, 1995 (1177 O.G. 60).

(b) ☒ was filed on December 12, 2001, ☒ as Application No. 10/023,427
☐ and was amended on _____ (if applicable).

NOTE: *Amendments filed after the original papers are deposited with the PTO that contain new matter are not accorded a filing date by being referred to in the declaration. Accordingly, the amendments involved are those filed with the application papers or, in the case of a supplemental declaration, are those amendments claiming matter not encompassed in the original statement of invention or claims. See 37 C.F.R. Section 1.67.*

NOTE: *"The following combinations of information supplied in an oath or declaration filed after the filing date are acceptable as minimums for identifying a specification and compliance with any one of the items below will be accepted as complying with the identification requirement of 37 C.F.R. Section 1.63:*

(A) application number (consisting of the series code and the serial number, e.g., 08/123,456);

(B) serial number and filing date;

(C) attorney docket number which was on the specification as filed;

(D) title which was on the specification as filed and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration; or

(E) title which was on the specification as filed and accompanied by a cover letter accurately identifying the application for which it was intended by either the application number (consisting of the series code and the serial number, e.g., 08/123,456), or serial number and filing date. Absent any statement(s) to the contrary, it will be presumed that the application filed in the PTO is the application which the inventor(s) executed by signing the oath or declaration.

M.P.E.P. § 601.01(a), 7th ed.

- (c) ☐ was described and claimed in PCT International Application No. _____
filed on _____ and as amended under PCT Article 19 on _____ (if
any).

SUPPLEMENTAL DECLARATION (37 C.F.R. Section 1.67(b))

(complete the following where a supplemental declaration is being submitted)

- ☐ I hereby declare that the subject matter of the
- ☐ attached amendment
☐ amendment filed on _____.

was part of my/our invention and was invented before the filing date of the original
application, above identified, for such invention.

ACKNOWLEDGMENT OF REVIEW OF PAPERS AND DUTY OF CANDOR

I hereby state that I have reviewed and understand the contents of the above-identified
specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information, which is material to patentability as defined in
37, Code of Federal Regulations, Section 1.56,

(also check the following items, if desired)

- ☐ and which is material to the examination of this application, namely, information
where there is a substantial likelihood that a reasonable Examiner would consider it
important in deciding whether to allow the application to issue as a patent, and
- ☐ in compliance with this duty, there is attached an information disclosure
statement, in accordance with 37 C.F.R. Section 1.98.

PRIORITY CLAIM (35 U.S.C. Section 119(a)-(d))

NOTE: 37 C.F.R. § 1.55 Claim for foreign priority.

*"(a) An applicant in a nonprovisional application may claim the benefit of the filing date of one or more prior
foreign applications under the conditions specified in 35 U.S.C. 119(a) through (d) and (f), 172, and 365(a)
and (b).*

*(1)(i) In an original application filed under 35 U.S.C. 111(a), the claim for priority must be
presented during the pendency of the application, and within the later of four months from the
actual filing date of the application or sixteen months from the filing date of the prior foreign
application. This time period is not extendable. The claim must identify the foreign application for
which priority is claimed, as well as any foreign application for the same subject matter and
having a filing date before that of the application for which priority is claimed, by specifying the
application number, country (or intellectual property authority), day, month, and year of its filing.
The time period in this paragraph does not apply to an application for a design patent.*

*(ii) In an application that entered the national stage from an international application
after compliance with 35 U.S.C. 371, the claim for priority must be made during the
pendency of the application and within the time limit set forth in the PCT and the
Regulations under the PCT."*

(2) The claim for priority and the certified copy of the foreign application specified in 35 U.S.C. 119(b) or PCT Rule 17 must, in any event, be filed before the patent is granted. If the claim for priority or the certified copy of the foreign application is filed after the date the issue fee is paid, it must be accompanied by the processing fee set forth in § 1.17(i), but the patent will not include the priority claim unless corrected by a certificate of correction under 35 U.S.C. 255 and § 1.323.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed.

(complete (d) or (e))

- (d) ☒ no such applications have been filed.
(e) ☐ such applications have been filed as follows.

NOTE: Where item (c) is entered above and the International Application which designated the U.S. itself claimed priority check item (e), enter the details below and make the priority claim.

**PRIOR FOREIGN/PCT APPLICATION(S) FILED WITHIN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO THIS APPLICATION
AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. SECTION 119(a)-(d)**

| COUNTRY (OR INDICATE IF PCT) | APPLICATION NUMBER | DATE OF FILING DAY, MONTH, YEAR | PRIORITY CLAIMED UNDER 35 USC 119 |
|------------------------------------|--------------------|------------------------------------|--|
| | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |
| | | | <input type="checkbox"/> YES <input type="checkbox"/> NO |

**CLAIM FOR BENEFIT OF PRIOR U.S. PROVISIONAL APPLICATION(S)
(35 U.S.C. Section 119(e))**

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:

PROVISIONAL APPLICATION NUMBER
60 / 256,319

FILING DATE
December 18, 2000

**CLAIM FOR BENEFIT OF EARLIER U.S./PCT APPLICATION(S)
UNDER 35 U.S.C. SECTION 120**

- ☐ The claim for the benefit of any such applications are set forth in the attached
ADDED PAGES TO COMBINED DECLARATION AND POWER OF ATTORNEY
FOR DIVISIONAL, CONTINUATION OR CONTINUATION-IN-PART (C-I-P)
APPLICATION.

**ALL FOREIGN APPLICATION(S), IF ANY, FILED MORE THAN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION**

NOTE: If the application filed more than 12 months from the filing date of this application is a PCT filing forming the basis for this application entering the United States as (1) the national stage, or (2) a continuation, divisional, or continuation-in-part, then also complete ADDED PAGES TO COMBINED DECLARATION AND POWER OF ATTORNEY FOR DIVISIONAL, CONTINUATION OR C-I-P APPLICATION for benefit of the prior U.S. or PCT application(s) under 35 U.S.C. Section 120.

POWER OF ATTORNEY

I hereby appoint the following practitioner(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

(list name and registration number)

JOSEPH H. HANDELMAN, 26179

JULIAN H. COHEN, 20302

JOHN RICHARDS, 31053

WILLIAM R. EVANS 25858

RICHARD J. STREIT, 25765

JANET I. CORD, 33778

PETER D. GALLOWAY, 27885

CLIFFORD J. MASS, 30086

RICHARD P. BERG, 28145

CYNTHIA R. MILLER, 34678

(Check the following item, if applicable)

- ☐ I hereby appoint the practitioner(s) associated with the Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.
- ☐ Attached, as part of this declaration and power of attorney, is the authorization of the above-named practitioner(s) to accept and follow instructions from my representative(s).

NOTE: "Special care should be taken in continuation or divisional applications to ensure that any change of correspondence address in a prior application is reflected in the continuation or divisional application. For example, where a copy of the oath or declaration from the prior application is submitted for a continuation or divisional application filed under 37 CFR 1.53(b) and the copy of the oath or declaration from the prior application designates an old correspondence address, the Office may not recognize, in the continuation or divisional application, the change of correspondence address made during the prosecution of the prior application. Applicant is required to identify the change of correspondence address in the continuation or divisional application to ensure that communications from the Office are mailed to the current correspondence address. 37 CFR 1.63(d)(4)." Section 601.03, M.P.E.P., 7th Ed

SEND CORRESPONDENCE TO

Ladas & Parry
26 West 61st Street
New York, N.Y. 10023

DIRECT TELEPHONE CALLS TO:
(Name and telephone number)

JANET I. CORD
(212) 708-1935

(complete the following if applicable)

Since this filing is a ☐ continuation ☐ divisional there is attached hereto a Change of Correspondence Address so that there will be no question as to where the PTO should direct all correspondence.

DECLARATION

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

SIGNATURE(S)

NOTE: Carefully indicate the family (or last) name, as it should appear on the filing receipt and all other document.

NOTE: Each inventor must be identified by full name, including the family name, and at least one given name without abbreviation together with any other given name or initial, and by his/her residence, post office address and country of citizenship. 37 C.F.R. Section 1.63(a)(3).

NOTE: Inventors may execute separate declarations/oaths provided each declaration/oath sets forth all the inventors. Section 1.63(a)(3) requires that a declaration/oath, inter alia, identify each inventor and prohibits the execution of separate declarations/oaths which each sets forth only the name of the executing inventor. 62 Fed. Reg. 53,131, 53,142, October 10, 1997,

Full name of sole or first inventor

HARSHAL P. BHAGWATWAR
(Given Name) (Middle Initial or Name) Family (Or Last Name)

Inventor's signature (X) [Signature]

Date (X) 27th AUG 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,
AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Full name of second joint inventor, if any

VARADA R. BAPAT
(Given Name) (Middle Initial or Name) Family (Or Last Name)

Inventor's signature (X) V.R. Sapat

Date (X) 27th Aug. 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,
AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Full name of third joint inventor, if any

MAHESH B. PAITHANKAR
(Given Name) (Middle Initial or Name) Family (Or Last Name)

Inventor's signature (X) [Signature]

Date (X) 27th Aug. 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,
AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

(check proper box(es) for any of the following added page(s))

that form a part of this declaration)

☒ **Signature** for fourth and subsequent joint inventors. *Number of pages added* 3

* * *

☐ **Signature** by administrator(trix), executor(trix) or legal representative for deceased or incapacitated inventor. *Number of pages added* _____

* * *

☐ **Signature** for inventor who refuses to sign or cannot be reached by person authorized under 37 C.F.R. Section 1.47. *Number of pages added* _____

* * *

☐ Added page for **signature** by one joint inventor on behalf of deceased inventor(s) where legal representative cannot be appointed in time. (37 C.F.R. Section 1.47)

* * *

☐ Added pages to combined declaration and power of attorney for divisional, continuation, or continuation-in-part (C-I-P) application.

☐ Number of pages added _____

* * *

☐ Authorization of practitioner(s) to accept and follow instructions from representative.

*(If no further pages form a part of this Declaration,
then end this Declaration with this page and check the following item)*

☐ This declaration ends with this page.

**ADDED PAGE TO COMBINED DECLARATION AND POWER OF
ATTORNEY FOR SIGNATURE BY FOURTH AND SUBSEQUENT INVENTORS**

Full name of fourth joint inventor, if any

BHUSHAN S. YEOLA
(Given Name) (Middle Initial or Name) Family (Or Last Name)

Inventor's signature (X) [Signature]

Date (X) 27th Aug. 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,

AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Full name of fifth joint inventor, if any

ARUN S. GOSAVI
(Given Name) (Middle Initial or Name) Family (Or Last Name)

Inventor's signature (X) [Signature]

Date (X) 5th Aug 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,

AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Full name of sixth joint inventor, if any

MANOJ A. BAGGOOL
(Given Name) (Middle Initial or Name) Family (Or Last Name)

Inventor's signature (X) [Signature]

Date (X) 5th Aug. 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,

AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Practitioner's Docket No. U013528-7

ADDED PAGE TO COMBINED DECLARATION AND POWER OF ATTORNEY FOR SIGNATURE BY FOURTH AND SUBSEQUENT INVENTORS

Full name of seventh joint inventor, if any

NITIN
(Given Name)

(Middle Initial or Name)

SHETTY
Family (Or Last Name)

Inventor's signature (X)

Date (X) Sept. 03, 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,
AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Full name of eighth joint inventor, if any

MILIND
(Given Name)

C.
(Middle Initial or Name)

SHUKLA
Family (Or Last Name)

Inventor's signature (X)

Date (X) Sept. 3, 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,
AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Full name of ninth joint inventor, if any

NOEL
(Given Name)

J.
(Middle Initial or Name)

DE SOUZA
Family (Or Last Name)

Inventor's signature (X)

Date (X) September 3, 2001 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,
AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Practitioner's Docket No. U013528-7

**ADDED PAGE TO COMBINED DECLARATION AND POWER OF
ATTORNEY FOR SIGNATURE BY FOURTH AND SUBSEQUENT INVENTORS**

Full name of tenth joint inventor, if any

NISHITH C. CHATURVEDI
(Given Name) (Middle Initial or Name) Family (Or Last Name)

Inventor's signature (X) Nishith C. Chaturvedi

Date (X) Aug. 27, 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,
AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Full name of eleventh joint inventor, if any

SURESH BERI
(Given Name) (Middle Initial or Name) Family (Or Last Name)

Inventor's signature (X) S. Beri

Date (X) Aug. 27, 2002 Country of Citizenship INDIA

Residence c/o WOCKHARDT RESEARCH CENTRE, D-4, M.I.D.C., CHIKALTHANA,
AURANGABAD 431 210, INDIA

Post Office Address SAME AS ABOVE

Full name of twelfth joint inventor, if any

(Given Name) (Middle Initial or Name) Family (Or Last Name)

Inventor's signature

Date Country of Citizenship

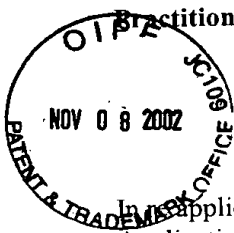
Residence

Post Office Address

RECEIVED

NOV 13 2002

TECH CENTER 1600/2900
PATENT



Practitioner's Docket No. U013528-7

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: HARSHAL P. BHAGWATWAR, ET AL.

Application No.: 10/023,427

Group No.: 1615

Filed: DECEMBER 12, 2001

Examiner:

For: NOVEL IN-SITU CONTROLLED RELEASE MICROCARRIER DELIVERY SYSTEM

Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST AND FEE TO
ADD TO INVENTOR(S) NOT
NAMED IN DECLARATION
--NONPROVISIONAL APPLICATION--
(37 C.F.R. SECTION 1.48(a))

1. This Request is to correct under 37 C.F.R. Section 1.48(a) the inventor(s) originally named in the declaration filed on February 26, 2002 (date).

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. SECTION 1.8(a))

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

FACSIMILE

- ☐ transmitted by facsimile to the Patent and Trademark Office (703)

Signature

Janet I. Cord

(type or print name of person certifying)

Date: November 5, 2002

(Amendment, Petition and Fee to Delete and/or Add to Original Erroneously Named Inventor(s) in Declaration (37 C.F.R. Section 1.48(a))--page 1 of 3) 1-1a 9-22

11/12/2002 MBERHE 00000046 10023427

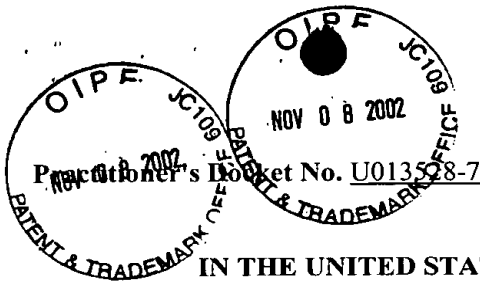
01 FC:1460

130.00 OP



161
TECH CENTER 1600/2900
NOV 13 2002
RECEIVED

(Statement of Non-deceptive Intent by Person Being Added by Petition
to Change Inventorship in Patent--page 1 of 1) 1-1d 14-9



RECEIVED
NOV 13 2002
TECH CENTER 1600/2900

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: HARSHAL P. BHAGWATWAR, ET AL.
Application No.: 10/023,427 Group No.: 1615
Filed: DECEMBER 12, 2001 Examiner:
For: NOVEL IN-SITU CONTROLLED RELEASE MICROCARRIER DELIVERY SYSTEM

Assistant Commissioner for Patents
Washington, D.C. 20231

STATEMENT OF NON-DECEPTIVE INTENT BY PERSON BEING ADDED OR DELETED
BY REQUEST (37 C.F.R. Section 1.48(a))

NOTE: Nothing more than a simple statement is required. The examiner will determine only whether the statement contains the required language and will not make any comment as to whether or not it appears that there was in fact a deceptive intention. M.P.E.P., Section 1481, 7th Edition.

I, the person who is being ☐ deleted ☒ added as an inventor by the Request and Fee (37 C.F.R. Section 1.48(a)) being submitted to correct the inventorship of this application, declare that the inventorship error in failing to include my name or including my name as an inventor occurred without any deceptive intention on my part.

☐ My addition is necessitated by amendment of the claims.

Date (X) Aug 27, 2002

SURESH BERI

Type name of inventor being added

(X)

Signature

2. Addition and/or Deletion of Inventor(s)

(check and complete all applicable items)

☒ Add the following previously unnamed person(s) as inventor(s) of this application:
NISHITH C. CHATURVEDI and SURESH BERI

☐ Delete the following previously incorrectly named inventor(s) _____

3. Attached is

(a) A statement from:

(check items below which apply)

☒ each person being added as an inventor that the error in inventorship occurred without deceptive intention on his or her part. 37 C.F.R. Section 1.48(a)(1).

☐ each person being deleted as an inventor that the error in inventorship occurred without deceptive intention on his or her part. 37 C.F.R. Section 1.48(a)(1).

(b) a declaration by each of the actual inventor(s) as required by 37 C.F.R. Section 1.63 (or as permitted by Sections 1.42, 1.43, OR 1.47). 37 C.F.R. Section 1.48(a)(2).

(c) written consent of the assignee *(if any of the original inventors executed an assignment)*. 37 C.F.R. Section 1.48(a)(4).

(d) (optional)

(check the following item, if all the inventor(s) remaining after this Request is accepted are not the inventor(s) of the subject matter of all the claim(s) now being claimed.)

☐ Attached is an explanation of the facts, including the ownership of all the claim(s) being claimed in this application, including the ownership of all the claim(s) at the time the last claimed invention was made (Declaration of Inventorship and Common Ownership of Claims in Application).

4. Fee Payment

The fee required by 37 C.F.R. Section 1.17(i) is paid as follows:

☐ Enclosed is a check for \$130.00.

☒ Charge Account 12-0425 for any fee deficiency.

☐ Charge Account _____ the sum of \$130.00.

Reg. No. 33,778

Tel. No.: (212)708-1935

Customer No.: 00140

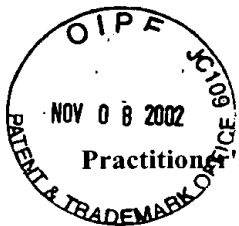

SIGNATURE OF PRACTITIONER

Janet I. Cord

(type or print name of practitioner)

P.O. Address

c/o Ladas & Parry
26 West 61st Street
New York, N. Y. 10023



Practitioner's Docket No. U013528-7

RECEIVED
NOV 13 2002
TECH CENTER 1600/2900
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: HARSHAL P. BHAGWATWAR, ET AL.
Application No.: 10/023,427 Group No.: 1615
Filed: DECEMBER 12, 2001 Examiner:
For: NOVEL IN-SITU CONTROLLED RELEASE MICROCARRIER DELIVERY SYSTEM

Assistant Commissioner for Patents
Washington, D.C. 20231

ASSENT OF ASSIGNEE TO CORRECTION (ADDITION) OF INVENTOR(S)

Assignee: WOCKHARDT LIMITED

(type or print name of assignee)

WOCKHARDT TOWERS, BANDRA KURLA COMPLEX

Address

BANDRA (EAST) MUMBAI 400 051, INDIA

Assignment

[x] recorded on MARCH 8, 2002
Reel 012690
Frame 0472

[] recorded herewith.

[] A separate "ASSIGNMENT" (DOCUMENT) COVER SHEET is
attached.

or

[] FORM PTO 1595 is attached.

Assignee hereby assents to the correction of inventorship of the attached Request.

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. SECTION 1.8(a))

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service
with sufficient postage as first class mail in an
envelope addressed to the Assistant
Commissioner for Patents, Washington, D.C.
20231.

FACSIMILE

☐ transmitted by facsimile to the Patent and
Trademark Office.

Date: November 5, 2002

Signature

Janet L. Cord

(type or print name of person certifying)

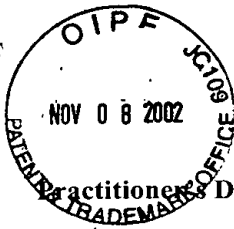
ASSIGNEE CERTIFICATION

A "STATEMENT UNDER 37 C.F.R. section 3.73(b)" is attached.

NY 03.09.2002
Date (X) ~~03~~ 09. 2002

(X) 
Signature

(X)
(type or print name and title of person authorized
to sign on behalf of assignee)



Practitioner's Docket No. U013528-7

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: HARSHAL P. BHAGWATWAR, ET AL.

Application No.: 10/023,427

Group No.: 1615

Filed: DECEMBER 12, 2001

Examiner:

For: NOVEL IN-SITU CONTROLLED RELEASE MICROCARRIER DELIVERY SYSTEM

Patent*: _____

Issue Date: _____

Reexamination No.: _____

Issue Date: _____

Reissue: _____

Issue Date: _____

*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents
Washington, D.C. 20231

RECEIVED
NOV 13 2002
TECH CENTER 1600/2900

STATEMENT UNDER 37 C.F.R. § 3.73(b)
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION

NOTE: 37 CFR 3.73(b) states: "When an assignee seeks to take action in a matter before the Office with respect to a patent application, ..., patent, registration, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. Ownership is established by submitting to the Office, in the Office file related to the matter in which action is sought to be taken, documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording) or by specifying (e.g., reel and frame number) where such evidence is recorded in the Office. The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office."

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10*

(When using Express Mail, the Express Mail label number is **mandatory**;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

- ☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

37 C.F.R. 1.8(a)

37 C.F.R. 1.10*

- ☒ with sufficient postage as first class mail.

- ☐ as "Express Mail Post Office to Address"
Mailing Label No. _____ (mandatory)

TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Date: November 5, 2002

Signature

Janet I. Cord

(type or print name of person certifying)

*WARNING: Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).
"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Statement under 37 C.F.R. § 3.73(b) Establishing Right of Assignee to Take Action—page 1 of 4) 1-1c 16-16

NOTE: "Section 3.73(b) is amended to remove the sentence requiring an assignee to specifically state that the

evidentiary documents have been reviewed and to certify that title is in the assignee seeking to take action. The sentence is deemed to be unnecessary in view of the amendment to §§ 1.4(d) and 10.18." Notice of Oct. 10, 1997, 62 Fed. Reg. 53,131, at 53,174.

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

IDENTIFICATION OF ASSIGNEE

2. WOCKHARDT LIMITED
Name of assignee
CORPORATION
Type of assignee, e.g., corporation, partnership, university, government agency, etc.

NOTE: The Notice of April 30, 1993 (1150 O.G. 62-64) points out:

"The statement under 37 CFR 3.73(b) may be signed on behalf of the assignee in the following two manners if the assignee is an organization (e.g., corporation, partnership, university, government agency, etc.).

"(1) The statement may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (president, vice-president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. A person having a title (manager, director, administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to be an officer of the assignee or to have authority to sign the statement on behalf of the assignee. A power of attorney from the inventors in an organization to a practitioner to prosecute a patent application does not make the practitioner an official of an assignee or empower the practitioner to sign the statement on behalf of the assignee.

"(2) The statement may be signed by any person, if the statement includes an averment that the person is empowered to sign the statement on behalf of the assignee and, if not signed by a registered practitioner, the statement must be in oath or declaration form. Where a statement does not include such an averment, and the person signing does not hold a position in the organization that would give rise to a presumption that the person is empowered to sign the statement on behalf of the assignee, evidence of the person's authority to sign will be required."

(complete the following, if applicable)

- ☐ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

- A.
1. ☒ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at
Reel 012690 Frame 0472

2. ☐ An assignment (document) separately being submitted for recordal herewith.

AND/OR

- B. ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: _____
Name of inventor(s)
To: _____
Recorded in PTO: Reel _____, Frame _____
2. From: _____
Name of inventor(s) or assignee
To: _____
Recorded in PTO: Reel _____, Frame _____
3. From: _____
Name of inventor(s) or assignee
To: _____
Recorded in PTO: Reel _____, Frame _____

(check item below, and add details, if applicable)

- ☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

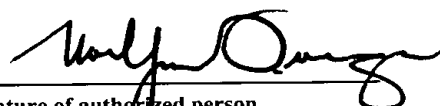
COPIES OF DOCUMENTS IN CHAIN OF TITLE

(complete this item, if copies are being sent)

- ☒ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

| | | | | | | |
|-------------------------------------|---|-------------------------------------|---|--------------------------|---|----------------------------|
| <input checked="" type="checkbox"/> | A | <input checked="" type="checkbox"/> | 1 | <input type="checkbox"/> | 2 | |
| <input type="checkbox"/> | B | <input type="checkbox"/> | 1 | <input type="checkbox"/> | 2 | <input type="checkbox"/> 3 |

(X) 03.09.2002
date

(X) 
Signature of authorized person
(X) _____
(type or print name of authorized person)
(X) _____
Title of authorized person

Reg. No.:

Tel. No.: ()

Customer No.:

SIGNATURE OF PRACTITIONER

(type or print name of practitioner)

P.O. Address

c/o Ladas & Parry
26 West 61st Street
New York, N.Y. 10023